

MODEL GUIDELINE TO REFUSING A UCC RECORD PRESENTED FOR FILING

Filing Office:

Date and time the record would have been filed,
had it been accepted:

GENERAL

- ☐ The record has not been communicated by a method or medium authorized by this filing office. 9-516(b)(1)
- ☐ An amount at least equal to the filing fee was not submitted. 9-516(b)(2)
- ☐ Filing office is unable to read or decipher the information. 9-516(c)(1)

INITIAL FINANCING STATEMENT

- ☐ Failure to provide the name of the debtor. 9-516(b)(3)(A)
- ☐ Failure to indicate whether the debtor is an individual or an organization. 9-516(b)(5)(B)
- ☐ If identified as an individual, failure to provide the last name of the debtor. 9-516(b)(3)(C)
- ☐ If identified as an organization, failure to provide organizational information for the debtor.
 - ☐ a type of organization
 - ☐ a jurisdiction of organization
 - ☐ an organization ID# or an indication that the debtor has none 9-516b5C
- ☐ Failure to provide either the social security number or the internal revenue service taxpayer identification number of the debtor. 9-502 (1)
- ☐ Failure to provide a mailing address for the debtor. 9-516(b)(5)(A)
- ☐ Failure to provide a name for the secured party. 9-516(b)(4)
- ☐ Failure to provide a mailing address for the secured party. 9-516(b)(4)
- ☐ In the case of an assignment reflected on an initial financing statement, failure to provide a name of the assignee. 9-516(b)(6)
- ☐ In the case of an assignment reflected on an initial financing statement, failure to provide a mailing address for the assignee. 9-516(b)(6)

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Form of payment: _____

Comments: _____

AMENDMENT OR CORRECTION STATEMENT

- ☐ Failure to identify a file number of an initial financing statement to which it relates. 9-516(b)(3)(B)(i)
- ☐ Identifies an initial financing statement for which effectiveness has lapsed. 9-516(b)(3)(8)(ii)

Continuation

- ☐ Failure to file within the six-month window prior to lapse. 9-516(b)(7)

Assignment

- ☐ Failure to provide a name for the assignee. 9-516(b)(6)
- ☐ Failure to provide a mailing address for the assignee. 9-516(b)(6)

Amendment of Party Information

New Debtor

- ☐ Failure to indicate whether the debtor is an individual or an organization. 9-516(b)(5)(B)
- ☐ If identified as an individual, failure to provide the last name of the debtor. 9-516(b)(3)(C)
- ☐ If identified as an organization, failure to provide organizational information for the debtor
 - ☐ a type of organization
 - ☐ a jurisdiction of organization
 - ☐ an organizational ID# or indication that the debtor has none. 9-516(b)(5)(C)
- ☐ Failure to provide either the social security number or the internal revenue service taxpayer identification number of the debtor. 9-502 (1)
- ☐ Failure to provide a mailing address for the debtor. 9-516(b)(5)(A)

New Secured Party

- ☐ Failure to provide name for the secured party. 9-516(b)(4)
- ☐ Failure to provide a mailing address for the secured party. 9-516(b)(4)